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2133 #7  
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|---|---|---|------------------------|--|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>   |   |   | Docket No.<br>15689.92 |  |
| Applicant(s): Yusaku Kikumura   |   |   |                        |  |
| Serial No.<br>09/998601   | JAN 28 2003<br>Filing Date<br>November 16, 2001 | Examiner<br>Not Yet Assigned  | Group Art Unit<br>2133 |  |
| Invention: DATA TRANSMISSION METHOD, DATA TRANSMISSION SYSTEM,<br>TRANSMITTER AND RECEIVER  |   |   |                        |  |
| <b>RECEIVED</b><br>JAN 31 2003<br>Technology Center 2100  |   |   |                        |  |
| I hereby certify that the following correspondence:   |   |   |                        |  |
| (see below)   |   |   |                        |  |
| (Identify type of correspondence)   |   |   |                        |  |
| is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on   |   |   |                        |  |
| <u>January 28, 2003</u><br>(Date)   |   |   |                        |  |
| <br><b>022913</b><br><br>PATENT TRADEMARK OFFICE  |   | <u>ADRIAN J. LEE</u><br>(Typed or Printed Name of Person Mailing Correspondence)  |                        |  |
|   |   | <br>(Signature of Person Mailing Correspondence) |                        |  |
|   |   | <u>EL 813862831 US</u><br>(“Express Mail” Mailing Label Number)   |                        |  |
| Note: Each paper must have its own certificate of mailing.  |   |   |                        |  |
| Transmittal for Information Disclosure Statement (2 pages; duplicate);<br>Information Disclosure Statement Under 37 C.F.R. § 1.97 (2 pages);<br>Form PTO-1449 Listing of References (2 page);<br>Legible Copy of References;<br>Certificate of Express Mail (EL813862831US);<br>Acknowledgment Postcard |   |   |                        |  |

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15689.92

In Re Application Of: **Yukihiko Okumura**

Serial No.

98,601

Filing Date

November 16, 2001

Examiner

Not Yet Assigned

Group Art Unit

2133

Title: **DATA TRANSMISSION METHOD, DATA TRANSMISSION SYSTEM,  
TRANSMITTER AND RECEIVER**

Address to:

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15689.92

In Re Application: Yukihiro Okumura

Serial No.

09,998,601

Filing Date

November 16, 2001

Examiner

Not Yet Assigned

Group Art Unit

2133

**DATA TRANSMISSION METHOD, DATA TRANSMISSION SYSTEM,  
TRANSMITTER AND RECEIVER**

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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**Certificate of Mailing by First Class Mail**

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Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**



\_\_\_\_\_  
Signature

Dated: January 28, 2003

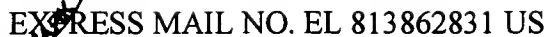
Adrian J. Lee  
Attorney for Applicant  
Reg. No.: 42,785



**022913**

PATENT TRADEMARK OFFICE

CC:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

# Yukihiko Okumura

Serial No.: 09/998,601

**Filed:** November 16, 2001

For: DATA TRANSMISSION METHOD, DATA TRANSMISSION SYSTEM, TRANSMITTER AND RECEIVER

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JAN 31 2003  
Technology Center 2100

Art Unit  
2133

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

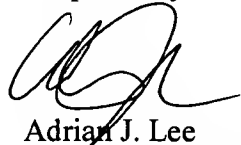
the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed. Note particularly, that English language reference EP1100204A1 corresponds to Japanese language reference WO00/69079 and thus serves as its English translation. English language reference EP1107499A1 corresponds to Japanese language reference WO00/79720A1 and thus serves as its English translation. English language reference 5,896,374 corresponds to Japanese language reference WO96/26582 and thus serves as its English translation. English language reference 6,108,384 corresponds to Japanese language reference WO97/50219 and thus serves as its English translation.

DATED January 28, 2003.

Respectfully submitted,



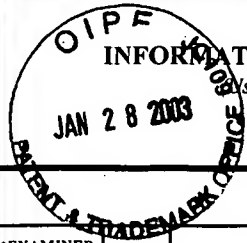
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|                                      |                                  |
|--------------------------------------|----------------------------------|
| Docket Number (Optional)<br>15689.92 | Application Number<br>09/998,601 |
| Applicant(s)<br>Yukihiro Okumura     |                                  |
| Filing Date<br>November 16, 2001     | Group Art Unit<br>2133           |

U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL | REF | DOCUMENT NUMBER | DATE      | NAME           | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----|-----------------|-----------|----------------|-------|----------|-------------------------------|
|                      | 2   | 6,108,384       | 8/22/2000 | Okumura et al. | 375   | 262      | 6/23/1997                     |
|                      | 2   | 5,896,374       | 4/20/1999 | Okumura et al. | 370   | 311      | 2/23/1996                     |
|                      |     |                 |           |                |       |          |                               |
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FOREIGN PATENT DOCUMENTS

|  | REF | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUBCLASS | Translation |    |
|--|-----|-----------------|------------|---------|-------|----------|-------------|----|
|  |     |                 |            |         |       |          | YES         | NO |
|  | 3   | EP 1 107 499 A1 | 6/13/2001  | Europe  | 7     |          | ✓           |    |
|  | 2   | EP 1 100 204 A1 | 5/16/2001  | Europe  | 7     |          | ✓           |    |
|  | 5   | WO96/26582      | 8/29/1996  | Japan   |       |          | ✓           |    |
|  | 5   | WO97/50219      | 12/31/1997 | Japan   |       |          | ✓           |    |
|  | 2   | WO00/79720 A1   | 12/28/2000 | Japan   |       |          | ✓           |    |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |   |
|--|----|---|
|  | 9  | "A Scheme to Measure Quality for Outer Loop TPC During DPDCH OFF"<br>TSG-RAN Working Group 1 Meeting #9<br>Dresden, Germany, November 30-December 3, 1999<br>TSGR1#9(99)j78 |
|  | 10 | "CR for Parity Bit Attachment to 0 Bit Transport Block"<br>TSG-RAN Working Group 1 meeting #9, Dresden, Germany, November 30-December 3, 1999<br>TSGR1#9(99)L34             |

|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

